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| Substitute for Form PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: February 28, 2002 <i>(use as many sheets as necessary)</i> | | | | Complete if Known Application Number 09/937,295 Filing Date 11/29/2001 First Named Inventor Mark UDEN Group Art Unit 1646 Examiner Name Unassigned Attorney Docket Number 078883-0134 | |
| Sheet | 1 | of | 3 | RECEIVED MAR 01 2002 TECH CENTER 1600/2900 | |

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

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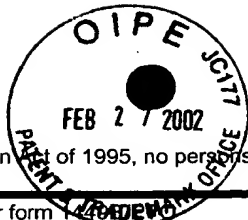
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¹ Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Standard ST.3). ⁶For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

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| INFORMATION DISCLOSURE STATEMENT BY APPLICANT Date Submitted: February 28, 2002 (use as many sheets as necessary) | | Application Number | 09/937,295 | | |
| | | Filing Date | 11/29/2001 | | |
| | | First Named Inventor | Mark UDEN | | |
| | | Group Art Unit | 1646 | | |
| | | Examiner Name | Unassigned | | |
| Sheet | 2 | of | 3 | Attorney Docket Number | 078883-0134 |

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| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ⁶ |
|--------------------|-----------------------|--|----------------|
| QW | A15 | PURCELL, DAMIAN et al., "Alternative Splicing of Human Immunodeficiency Virus Type 1 mRNA Modulates Viral Protein Expression, Replication, and Infectivity, 1993, <u>J. of Virology</u> 67:6365-6378 | Y |
| | A16 | BRODY, BRIAN et al., "Postassembly Cleavage of a Retroviral Glycoprotein Cytoplasmic Domain Removes a Necessary Incorporation Signal and Activates Fusion Activity", 1994, <u>J. of Virology</u> 68:4620-4627 | Y |
| | A17 | REIN, ALAN et al., "Function of the Cytoplasmic Domain of a Retroviral Transmembrane Protein: p15E-p2E Cleavage Activates the Membrane Fusion Capability of the Murine Leukemia Virus Env Protein, 1994, <u>J. of Virology</u> , 68:1773-1781 | Y |
| | A18 | MAULIK, SUNIL et al., "Molecular Biotechnology: Therapeutic Applications and Strategies", 1997, Wiley-Liss, Inc., pp.45 | Y |
| | A19 | DOUGHERTY, JOSEPH P. et al., "A promoterless retroviral vector indicates that there are sequences in U3 required for 3' RNA processing", 1987, <u>Proc. Natl. Acad. Sci.</u> , 84:1197-1201 | Y |
| | A20 | HAWLEY, ROBERT et al., "Handicapped retroviral vectors efficiently transduce foreign genes into hematopoietic stem cells", 1987, <u>Proc. Natl. Acad. Sci.</u> , 84:2406-2410 | Y |
| | A21 | Yee, JIING-KUAN et al., "A general method for the generation of high-titer, pantropic retroviral vectors: Highly efficient infection of primary hepatocytes", 1987, <u>Proc. Natl. Acad. Sci.</u> , 91:9564-9568 | Y |
| | A22 | JOLLY, DOUGLAS J. et al., "Elements in the terminal repeat of murine retroviruses enhance stable transformation by thymidine kinase gene", 1983, <u>Nucleic Acids Research</u> , 11:1855-1872 | Y |
| | A23 | EMERMAN, MICHAEL et al., "Genes with Promoters in Retrovirus Vectors Can Be Independently Suppressed by an Epigenetic Mechanism", 1984, <u>Cell</u> , 39:449-467 | Y |
| | A24 | HERMAN, STEVEN A. et al., "Efficient Packaging of Readthrough RNA in ALV: Implications for Oncogene Transduction", 1987, <u>Science</u> , 236:845-848 | Y |
| | A25 | MILLER, DUSTY A. et al., "A transmissible retrovirus expressing human hypoxanthine phosphoribosyltransferase (HPRT): Gene transfer into cells obtained from humans deficient in HPRT", 1983, <u>Proc. Natl. Acad. Sci.</u> , 80:4709-4713 | Y |
| | A26 | MILLER, DUSTY A. et al., "Improved Retroviral Vectors for Gene Transfer and Expression", 1989, <u>BioTechniques</u> , 7:980-990 | Y |
| | A27 | KRALL, WJ et al, "Increased levels of spliced RNA account for augmented expression from the MFG retroviral vector in hematopoietic cells", 1996, <u>Gene Therapy</u> , 3:37-48 | Y |
| QW | A28 | OVERELL, ROBERT W. et al., "Stably Transmitted Triple-Promoter Retroviral Vectors and Their Use in Transformation of Primary Mammalian Cells", <u>Molecular and Cellular Biology</u> , 8:1803-1808 | Y |

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⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

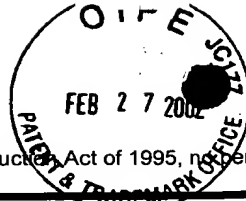
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Date Submitted: February 28, 2002

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Sheet 3 of 3

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|------------------------|-------------|
| Application Number | 09/937,295 |
| Filing Date | 11/29/2001 |
| First Named Inventor | Mark UDEN |
| Group Art Unit | 1646 |
| Examiner Name | Unassigned |
| Attorney Docket Number | 078883-0134 |

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ⁶ |
|--------------------|-----------------------|--|----------------|
| QN | A29 | CEPKO, CONSTANCE L. et al., "Construction and Applications of a Highly Transmissible Murine Retrovirus Shuttle Vector", 1984, <u>Cell</u> , 37:1053-1062 | Y |
| | A30 | KORMAN, ALAN J. et al., "Expression of human class II major histocompatibility complex antigens using retrovirus vectors", 1987, <u>Proc. Natl. Acad. Sci.</u> , 84:2150-2154 | Y |
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| | A33 | LEWIS, JOHN A. et al., "Structure and Expression of the Chinese Hamster Thymidine Kinase Gene", 1986, <u>Molecular and Cellular Biology</u> , 6:1998-2010 | Y |
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| | A35 | BENDER, MICHAEL A. et al., "Evidence that the Packaging Signal of Moloney Murine Leukemia Virus Extends into the gag Region", 1987, <u>J. of Virology</u> , 61:1639-1646 | Y |
| | A36 | NALDINI, LUIGI et al., "In Vivo Gene Delivery and Stable Transduction of Nondividing Cells by a Lentiviral Vector", 1996, <u>Science</u> , 272:263-267 | Y |
| | A37 | KIM, MARRY V. et al., "Minimal Requirement for a Lentivirus Vector Based on Human Immunodeficiency Virus Type 1", 1998, <u>J. of Virology</u> , 72:811-816 | Y |
| | A38 | POESCHLLA, ERIC M. et al., "Efficient transduction of nondividing human cells by feline immunodeficiency virus lentiviral vectors", 1998, <u>Nature Medical</u> , 4:354-357 | Y |
| | A39 | FENG, MEIZHEN et al., "Stable in vivo gene transduction via a novel adenoviral/retroviral chimeric vector", 1997, <u>Nature Biotechnology</u> , 15:866 | Y |
| | A40 | AEBI, M. et al., "Precision and orderliness in splicing", <u>Trends in Genetics</u> , 3:102-107 | Y |
| QN | A41 | BOTHWELL, ALFRED L. et al., "Heavy Chain Variable Region Contribution to the NPb Family of Antibodies: Somatic Mutation Evident in a y2a Variable Region", 1981, <u>Cell</u> , 24:625-637 | Y |

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Signature

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Sheet 1 of 1

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| Based on Form PTO-1449 (3/90) | | | | ATTY. DOCKET NO. 674523-2020 | | SERIAL NO. 09/937,295 | |
| LIST OF REFERENCES CITED BY APPLICANT (Use several sheets if necessary) | | | | APPLICANT Uden, et al. | | | |
| | | | | FILING DATE November 29, 2001 | | GROUP 1636 | |
| U.S. PATENT DOCUMENTS | | | | | | | |
| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
| QW | AA | 6,544,771 | 04/08/03 | Riviere et al. | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | |
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| EXAMINER Ly Nguyen | | | | DATE CONSIDERED 6/24/04 | | | |
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